UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/810,446	03/19/2001	Noritaka Koyama	SAT 156	7190

23995	7590	01/25/2006	EXAMINER

RABIN & Berdo, PC
1101 14TH STREET, NW
SUITE 500
WASHINGTON, DC 20005

	EXAMINER
	BARQADLE, YASIN M

ART UNIT	PAPER NUMBER
2153	

DATE MAILED: 01/25/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *18 October 2005*.

2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-17* is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-17* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____ .

5)☐ Notice of Informal Patent Application (PTO-152)

6)☐ Other: _____.

Continued Examination Under 37 CFR 1.114

1.   A request for continued examination under 37 CFR 1.114, including the fee set forth in

37 CFR 1.17(e), was filed in this application after final rejection. Since this application is

eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e)

has been timely paid, the finality of the previous Office action has been withdrawn pursuant to

37 CFR 1.114. Applicant's submission filed on October 18, 2005 has been entered.

Response to Amendment

2.   The amendment filed on October 18, 2005 has been fully considered but are not

persuasive.

Response to Arguments

3.   In response to applicant arguments regarding the amended limitations of claim 1,

applicant is referred to the detailed rejection below.

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making
and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it
pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode
contemplated by the inventor of carrying out his invention.

4.   Claim 1 is rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the

written description requirement. The claim(s) contains subject matter which was not described

in the specification in such a way as to reasonably convey to one skilled in the relevant art that

the inventor(s), at the time the application was filed, had possession of the claimed invention.

"indicating at least one condition that must be followed as a precondition for receiving the

respective object." Examiner could not find the words "indicating at least one condition that

must be followed as a precondition" or it's equivalent in the specification. Furthermore,

Examiner could not find the words "to transform the retrieved principal information value into a

transformed value, and to ascertain whether the transformed value is the same as one of the

principal information value templates stored in the object information storing section," in the

specification as originally filed. In paragraph 0037, page 9 of the specification as originally filed

states "The "principalInfoValueTemplate" represents a matching rule used to obtain an object

corresponding to the principal, which is adapted to associate the information about the principal

with the information about the object, for example, to define operations to derive, using the

information about the principal, the object corresponding to the principal." This in not the same

as "to transform the retrieved principal information value into a transformed value, and to

ascertain whether the transformed value is the same as one of the principal information value

templates stored in the object information storing section. Finally, Examiner could not find the

words of "determined to fulfill a condition" or its equivalence in the specification as originally

file.

Claim 11 and 12 is rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the

written description requirement. The claim(s) contains subject matter which was not described

in the specification in such a way as to reasonably convey to one skilled in the relevant art that

the inventor(s), at the time the application was filed, had possession of the claimed invention.

"A principal is <u>added or deleted by modifying</u> said principal information in said principal

information storing section, <u>without modifying said object information stored in said object</u>

<u>information storing section</u>." Examiner could not find the words of "adding or deleting a

principal by modifying a principal information in the information storing section, without

modifying an object information stored in said object information storing section" It is not clear

how this limitation is supported by the specification.

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

> The specification shall conclude with one or more claims particularly pointing out and distinctly
> claiming the subject matter which the applicant regards as his invention.

5.   Claim 1 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing

to particularly point out and distinctly claim the subject matter which applicant regards as the

invention. It is unclear to the examiner what the phrase "to use a matching rule to transform the

retrieved principal information value into a transformed value, and to ascertain whether the

transformed value is the same as one of the principal information value templates stored in the

object information storing section", in which case said one of said principals is determined to

fulfill a condition for being and authorized recipient of the object corresponding to said one of

the principal information value templates:" means.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6.   Claims 1-3, 5, 6, 9 and 13 are rejected under 35 U.S.C. 102(b) as being anticipated by Wobber et al. (U.S. Patent Number 5,235,642, hereinafter "Wobber"). Wobber discloses an access control subsystem and method for distributed computer system using locally cached authentication credentials. Wobber shows,

In referring to claim 1,

- A principal information storing section to store first information about each of said plurality of principals, the first information for each principal including a principal ID that identifies the respective principal and principal information value that contains information about the respective principal:

  "The computer at each node of the distributed system has a trusted computing base that includes an authentication agent for authenticating requests received from principals at other nodes in the system" (Wobber, col. 1, lines 55-58) Wobber Fig. 2 shows an Authentication agent 134 that includes a storing section to store information about each of said plurality of principals 142, 144, and 160. See also Fig. 5A Each node's authentication agent 134 maintains an Auth ID table 142, shown in FIG. 5A, which lists the name of the principal and its assigned Auth ID. Each record in the table would typically also include other information, such as the name of the process that the principal is logged onto." Col. 5, lines 29-34)

- An object information storing section to store second information about each of a plurality of said objects, the second information for each object including an object

information value that identifies the respective object and a principal object information value template corresponding to the respective object and indicating at least one condition that must be followed as a precondition for receiving the respective object

"A further optimization is that the server process local cache is used to store a list of the object access control list entries previously satisfied by each requester, thereby enabling the server process to expedite granting access to previously accessed objects." (Wobber, col. 2, lines 18-22) Wobber Fig. 2 shows an object information storing section to store information about each of a plurality of said objects 136 including access control lists 138. See also col. 6, lines 40-68

- An application section to retrieve a principal information value stored in said principal information storing section in response to a principal ID supplied by one of said principals, to use a matching rule to transform the retrieved principal information value into a transformed value, and to ascertain whether the transformed value is the same as one of the principal information value templates stored in the object information storing section, in which case said one of said principals is determined to fulfill a condition fro being and authorized recipient of the object corresponding to said one of the principal information value templates:

"In the preferred embodiment, the objects 136 to which access is governed by the reference monitor program 132 on node 102-1 are stored in the computer at that node (other arrangements may be possible). Each object 136 includes an Access Control List (ACL) 138 which defines the set of 'principals' who are authorized to access the object 136. " (Wobber, col. 4, lines 24-30. See also col. 7, lines 22-63)

In referring to claim 2,

- Said object supplying device is a distributed processing device in a distributed processing system including a network and said distributed processing device being connected to said network:

"The present invention relates generally to controlling access to computer resources in a distributed computer system, and particularly to apparatus and methods for making such access control systems more efficient by locally caching in each computer authentication credentials for principals requesting use of that computer's resources." (Wobber, col. 1, lines 7-13)

In referring to claim 3,

- Said distributed processing system includes said distributed processing device operating as a server:

  "Requests are transmitted to servers as messages that include a first identifier (called an Auth ID) provided by the requester and a second identifier provided (called the subchannel value) by the authentication agent of the requester node." (Wobber, col. 1, lines 59-63)

- A plurality of client units being connectable to said server through said network and wherein said principal is any one of said client units, a user using said client unit and an object contained in said client unit:

  "A principal is herein defined to be the source of a request or assertion. Typically, one thinks of a principal as a person, or a machine acting on behalf of a person. However, processes many layers removed from human direction, such as those in a transaction processing system, can also be principals." (Wobber, col. 4, lines 15-20)

In referring to claim 5,

- A receiving section to receive, from said principal, information about authentication needed to authenticate one principal and an authenticating section to authenticate said one principal based on said authentication information received by said receiving section and by referring to said information stored in said principal information storing section:

  "If the identifier in a request message does not match any of the entries in the server's local cache, then the server node's authentication agent is called to obtain authentication credentials from the requester's node to authenticate the request message. Upon

receiving the required credentials from the requester node's authentication agent, the principal identifier of the requester and the received credentials are stored in a local cache by the server node's authentication agent." (Wobber, col. 2, lines 5-17)

• Said application section, when said one principal is authenticated by said authenticating section to be an authorized principal, performs retrieval and supply of said object:

"Each object 136 includes an Access Control List (ACL) 138 which defines the set of "principals" who are authorized to access the object 136." (Wobber, col. 4, lines 27-30)

In referring to claim 6,

• Said application section, when being requested by said one principal to supply an object, performs retrieval and supply of said object:

Wobber, col. 4, lines 27-30 (see full quote above)

In referring to claim 9,

• Combination of said information stored in said principal information storing section with said information stored in said object information storing section is defined by a predetermined matching rule:

Wobber, col. 4, lines 27-30 (see full quote above)

In referring to claim 10,

• Said application section further comprises a plurality of services defining said objects, and supplies said object corresponding to said one of said principals to said one of said principals over a network: "Objects can be files, processes, set of data such as table or database, programs (e.g., an interface program which governs use of an input/output device), and so on. In the preferred embodiment, the objects 136 to which access is governed by the reference monitor program 132 on node 102-1 are stored in the computer at that node (other arrangements may be possible). Each object 136 includes an Access Control List (ACL) 138 which define the set of "principals" who are authorized to access the object 136. " (Wobber, col. 4, lines 21-30)

In referring to claim 11,

- A principal is added or deleted by modifying said principal information in said principal information storing section, without modifying said object information stored in said object information storing section: The system of Wobber maintains an Auth ID table that is separate from the ACL of the objects. Modifying one will not affect the other

In referring to claim 12,

- A principal is added or deleted by modifying said object information in said object information storing section, without modifying said principal information stored in said principal information storing section:

The system of Wobber maintains an Auth ID table that is separate from the ACL of the objects. Modifying one will not affect the other

As per claim 13, Wobber teaches the object supplying device according to claim 1, wherein the first information stored in the principal information storing section additionally includes principal information key data and the second information stored in the object information storing section additionally includes principal information key data, the stored principal information key data being used as another condition for determining authorized recipient of objects "the present invention is a security system governing access to objects in a distributed computer system. The computer at each node of the distributed system has a trusted computing base that includes an authentication agent for authenticating requests received from principals at other nodes in the system. Requests are transmitted to servers as messages that include a first identifier (called an Auth ID) provided by the requester and a second identifier provided (called the subchannel value) by the authentication agent of the requester node. Each server process has an associated local cache that identifies requesters whose previous request messages have been authenticated." Col. 1, lines 53 to col. 2, lines 4 and col. 7, lines 22-63)

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness

rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

7.   Claim 4 is rejected under 35 U.S.C. 103(a) as being unpatentable over Wobber in view of

Moriya et al. (U.S. Patent Number 6108790, hereinafter "Moriya"). Although Wobber shows

substantial features of the claimed invention, Wobber does not show a portable terminal as the

client. Nonetheless this feature is well known in the art and would have been an obvious

modification to the system disclosed by Wobber as evidenced by Moriya.

In analogous art, Moriya discloses an authentication system using a network. Moriya shows

the distributed processing system is a portable communication system provided with a portable

communication terminal and wherein said client unit constituting said principal is said portable

communication terminal: *"Each of the communication terminals 1-1 through 1-n is a computer*

connected to a modem, a terminal adapter, or the like, or a portable electronic device such as a

PDA (Personal Data Assistance)." (Moriya, col. 3, lines 60-63)

Given these teachings, a person of ordinary skill in the art would have readily recognized the

desirability and advantages of modifying the system of Wobber so as to use a portable terminal

as the client, such as taught by Moriya, in order to allow portable devices to access the system.

8.   Claim 7-8 and 14-17 are rejected under 35 U.S.C. 103(a) as being unpatentable over

Wobber in view of Mellen-Garnett et al US. Patent Number (6507875) hereinafter "Mellen".

As per claims 7-8 and 17, Although Wobber shows substantial features of the claimed invention,

including the system of claim 1 (see 102 rejection above), he does not explicitly show notifying

changes to any service requesting notification of said changes. Nonetheless this feature is well

known in the art and would have been an obvious implementation of the system disclosed by

Mellen.

In analogous art, Mellen teaches " Event notifications initiate processing in an application collaboration module. Events are also used to communicate changes between various components. Events are generated from connectors to allow applications to communicate modifications in the application's data to the interchange server." (Col. 20, lines 20-25). Given these teachings, a person of ordinary skill in the art would have readily recognized the desirability and advantages of modifying the system of Wobber so as to use the event notification system of Moriya, in order to communicate changes occurring within the system to event subscribers upon receipt of particular events.

As per claim 14, Wobber teaches the object supplying device according to claim 1, wherein the first information stored in the principal information storing section additionally includes principal information key data and the second information stored in the object information storing section additionally includes principal information key data, the stored principal information key data being used as another condition for determining authorized recipient of objects "the present invention is a security system governing access to objects in a distributed computer system. The computer at each node of the distributed system has a trusted computing base that includes an authentication agent for authenticating requests received from principals at other nodes in the system. Requests are transmitted to servers as messages that include a first identifier (called an Auth ID) provided by the requester and a second identifier provided (called the subchannel value) by the authentication agent of the requester node. Each server process has an associated local cache that identifies requesters whose previous request messages have been authenticated." Col. 1, lines 53 to col. 2, lines 4 and col. 7, lines 22-63)

As per claim 15 and 16, the object supplying device according to claim 14, wherein the principal information managerial section comprises an entity registering table to register entities needing to receive data indicating a change in the principal information storing section and wherein the entities are services (col. 6, lines 38-64).

Conclusion

9.   The prior made of record and not relied upon is considered pertinent to applicant's

disclosure.

Any inquiry concerning this communication or earlier communications from the examiner

should be directed to Yasin Barqadle whose telephone number is 571-272-3947. The examiner

can normally be reached on 9:00 AM to 5:30 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor,

Glenn Burgess can be reached on 571-272-3949. The fax phone numbers for the organization

where this application or proceeding is assigned are 703-872-9306 for regular communications

and 703-746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should

be directed to the receptionist whose telephone number is 703-305-3900.

Information regarding the status of an application may be obtained form the Patent

Application Information Retrieval (PAIR) system. Status information for published applications

may be obtained from either private PAIR or public PAIR system. Status information for

unpublished applications is available through private PAIR only. For more information about the

PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private

PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

YB

Art Unit 2153

KRISNA LIM
PRIMARY EXAMINER